



**AGENDA ITEM**

3.2.3 Appendix 4

**CTM BOARD**

**HIGHLIGHT REPORT FROM THE CTMUHB AUDIT AND RISK COMMITTEE**

**DATE OF MEETING**

26/01/2023

**PUBLIC OR PRIVATE REPORT**

Public

**IF PRIVATE PLEASE INDICATE REASON**

Not Applicable - Public Report

**PREPARED BY**

Emma Walters, Corporate Governance Manager

**PRESENTED BY**

Patsy Roseblade, Independent Member and Chair of the Audit & Risk Committee

**EXECUTIVE SPONSOR APPROVED**

Sally May, Executive Director of Finance

**REPORT PURPOSE**

NOTING

**ACRONYMS**

**1. INTRODUCTION**

1.1 This report had been prepared to provide the Board with details of the key issues considered by the CTMUHB Audit & Risk Committee at its meeting on the 12 December 2022.

1.2 Key highlights from the meeting are reported in section 3.

**2. PURPOSE OF THE AUDIT & RISK COMMITTEE**

2.1 The Committee will function in accordance with the NHS Audit Committee Handbook as appropriate.

The Committee will also consider issues in respect of the roles and

responsibilities of Committees hosted by the CTMUHB on behalf of NHS Wales as appropriate. These are the Welsh Health Specialised Services Committee and the Emergency Ambulance Services Committee. The meeting will be split into two parts with Cwm Taf Morgannwg CTMUHB business and hosted Committee business discussed and recorded separately.

The purpose of the Committee is to advise and assure the Board on whether effective arrangements are in place – through the design and operation of the Health Board system of risk and assurance – to support it in its decision taking and in discharging the accountabilities for securing the achievement of the Health Board objectives in accordance with the standards of good governance determined for the NHS in Wales.

Where appropriate, the Committee will advise the Board and the Accountable Officer on where, and how, its system of assurance may be strengthened and developed further.

### 3. HIGHLIGHT REPORT FROM THE LAST COMMITTEE MEETING

<b>ALERT / ESCALATE</b>	There were no matters for escalation.
<b>ADVISE</b>	<ul style="list-style-type: none"> <li>• The <b>Local Counter Fraud report</b> was received. Members noted that a proactive review had been undertaken of salary overpayments to temporary staff during the Covid-19 pandemic which identified a small number of non-compliant cases which had resulted in overpayments. Members noted that the Counter Fraud Team were in the process of developing a risk assessment to help address the issue moving forward;</li> <li>• The <b>Procurement and Scheme of Delegation</b> report was received. Members noted that a discussion would be held with the Assistant Director of Engagement and Communications to ensure appropriate engagement was undertaken moving forwards in relation to the waiver of single tender actions that they had submitted;</li> <li>• The <b>Losses and Special Payments</b> report was received. A discussion was held in relation to the submission of Learning from Events Reports (LFER's) where it was noted that further work was required to ensure that fully completed reports were being submitted as opposed to high-level reports. Members noted that it is hoped that the new Quality Governance Operating Model Structure would help to ensure sustainable improvements. The consultation will close in January 2023;</li> <li>• The Committee received a report on <b>Medical Rostering</b>. Members noted that a further review would be undertaken to determine why the Health Roster system had not been adopted by the Anaesthetics and Emergency Departments;</li> </ul>



	<ul style="list-style-type: none"><li>• The <b>Organisational Risk Register</b> was received. Members noted that a discussion would be held with the Executive Team at the Risk Workshop being held in January 2023 on the common themes that had been identified during the review of risks at the meeting;</li><li>• The <b>Internal Audit Progress report</b> was received and noted;</li><li>• Internal Audit Reviews on <b>Decarbonisation, iCTM Improvement Team Discussion, Wellbeing and Clinical Service Group – Radiology Discussion</b> were received and noted. A further review of the Wellbeing audit was agreed prior to recommendations being incorporated into the Audit Tracker;</li><li>• The <b>Audit Wales Audit &amp; Risk Committee</b> update was received and noted;</li><li>• The following <b>Audit Wales National Reviews</b> were received and noted<ul style="list-style-type: none"><li>○ <b>Making Equality Impact Assessments more than just a tick box exercise;</b></li><li>○ <b>Commissioning and Contracting Arrangements (CTM &amp; Swansea Bay)</b></li><li>○ <b>Transforming Leadership Partnership Board Baseline Governance Review</b></li></ul></li></ul> <p><b>In Committee Meeting</b> An In Committee meeting was held to consider the following business sensitive items:</p> <ul style="list-style-type: none"><li>• <b>Internal Audit Follow Up Review – Cyber Security</b></li><li>• <b>Audit Wales Follow Up Review – Cyber Resilience</b></li></ul>
<b>ASSURE</b>	<ul style="list-style-type: none"><li>• The <b>Audit &amp; Risk Committee Effectiveness Self-Assessment</b> was received. Members noted that Internal Audit and Counter Fraud colleagues had been asked to provide Members with more detail in relation to their responsibilities and the reasons why they have to report against certain areas;</li><li>• The <b>National Fraud Initiative in Wales 2020 – 2021: National Fraud Initiative Self-Appraisal Checklist</b> report was received. Members noted that a progress and outcomes report would be presented to the Committee in June 2023.</li><li>• A report on <b>Consultant Job Planning</b> was received. Members welcomed the work being undertaken to ensure consistency across the Health Board and looked forward to further progress being made in this area.</li><li>• The <b>Audit Recommendations Tracker</b> was received. Audit Wales requested that a review was undertaken to determine why some recommendations had been removed from the tracker in relation to the Audit of the Accounts Addendum review;</li></ul>



<b>INFORM</b>	<ul style="list-style-type: none"><li>• The minutes of the meeting held on 24 October 2022 were received and approved;</li><li>• The <b>Declarations of Interest and Gifts and Hospitality Report</b> was Endorsed for Board Approval;</li><li>• The <b>Committee Annual Cycle of Business and Forward Work Programme</b> were received and noted;</li><li>• The <b>Clinical Audit Annual Report</b> was received and noted.</li></ul>
<b>APPENDICES</b>	<b>NOT APPLICABLE</b>

#### 4. RECCOMENDATION

4.1 The Board is requested to **NOTE** the report.